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Attorney for Applicants

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appl. No.	:	10/780,422	Confirmation No.: 2026
Applicant	:	Robert H. Burgener, II et al.	
Title	:	COMPOUNDS AND SOLID STATE APPARATUS HAVING ELECTROLUMINESCENT PROPERTIES	
Filed	:	February 17, 2004	
TC/A.U.	:	2879	
Examiner	:	(not yet assigned)	
Docket No.	:	3398.2.6	
Customer No.	:	21552	

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Dear Sir:

Transmitted herewith is an Information Disclosure Statement disclosing information which has come to the attention of applicants and/or their attorneys and is being submitted so as to comply with the duty of disclosure set forth in 37 C.F.R. § 1.56. In accordance with 37 C.F.R. § 1.97(b), the enclosed Statement is being filed within three (3) months of the filing date of the above-identified application or before the mailing date of a first Action on the merits.

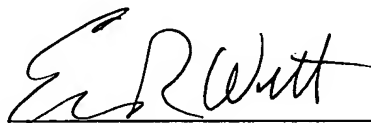
Neither applicants nor their attorneys make any representation that any information disclosed herein may be "prior art" within the meaning of that term under 35 U.S.C. § 102 or § 103. Moreover, pursuant to 37 C.F.R. § 1.97, the filing of this Information Disclosure Statement

shall not be construed as a representation that a search has been made or as an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

In accordance with 37 C.F.R. § 1.98, transmitted herewith are:

1. A completed copy of Form PTO/SB08b "Information Disclosure Statement by Applicant" listing the patents, publications and other information being submitted for consideration; and
2. A legible copy of each patent, publication and other item of information in written form listed on the enclosed Form PTO/SB/08b, except for copies of U.S. patents and published U.S. patent applications which are not required for applications filed after June 30, 2003.

Respectfully submitted,



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Date: October 3, 2005

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PTO/SB/08b (08-03)  
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<b>Substitute for form 1449B/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)  Sheet      1      Of      3	<b>Complete if Known</b>	
	Application Number	10/780,422
	Filing Date	February 17, 2004
	First Named Inventor	Robert H. Burgener, II
	Group Art Unit	2879
	Examiner Name	
	Attorney Docket Number	3398.2.6

<b>NON PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	$\gamma$ <sup>2</sup>
	O1	KOUYATE, D., RONFARD-HARET, J.-C., and KOSSANYI, J.; Photo- and electro-luminescence of rare earth-doped semiconducting zinc oxide electrodes: Emission from both the dopant and the support; Journal of Luminescence; 1991; pp. 205-210; Vol. 50; Elsevier Science Publishers B.V.	
	O2	KOSSANYI, J., KOUYATE, D., POULIQUEN, J., RONFARD-HARET, J.C., VALAT, P., et al.; Photoluminescence of Semiconducting Zinc Oxide Containing Rare Earth Ions as Impurities; Journal of Luminescence; 1990; pp. 17-24; Vol. 46; Elsevier Science Publishers B.V. (north-Holland).	
	O3	BHUSHAN, S., PANDEY, A.N., and KAZA, B.R.; Photo- and Electroluminescence of Undoped and Rare Earth Doped ZnO Electroluminores; Journal of Luminescence; 1979; pp. 29-38; Vol. 20; North-Holland Publishing Company.	
	O4	JADWISIENCZAK, W.M., LOZYKOWSKI, H.J., XU, A., and PATEL, B.; Visible Emission from ZnO Doped with Rare-Earth Ions; Journal of Electronic Materials, 2002; pp. 776-784; Vol 31.	
	O5	WANG, Y.G., LAU, S.P., LEE, H.W., YU, S.F., TAY, B.K., et al.; Photoluminescence study of ZnO films prepared by thermal oxidation of Zn metallic films in air; Journal of Applied Physics; 07/01/2003; pp. 354-358; Vol 94, No.1; American Institute of Physics.	
	O6	XIONG, G., WILKINSON, J., LYLES, J., UCER, K.B., and WILLIAMS, R.T.; Luminescence and stimulated emission in zinc oxide nanoparticles, films, and crystals.	
	O7	AGNE, T., GUAN, Z., LI, X.M., WOLF, H., and WICHERT, T.; Incorporation of the Donor Indium in Nanocrystalline ZnO; phys. stat. sol.; 2002; pp. 819-823; Vol. 229; WILEY-VCH Verlag Berlin GmbH; Berlin.	
	O8	RONFARD-HARET, J.C., KOSSANYI, J., and PASTOL, J.L.; Electroluminescence of the Er <sup>3+</sup> ion and the electric conduction in polycrystalline ZnO:Mn,Bi,Er sintered pellets; Journal of Physics and Chemistry of Solids; 2001; pp. 565-578; Vol. 62; Elsevier Science Ltd.	
	O9	MAGNE, S., OUERDANE, Y., DRUETTA, M., GOURE, J.P., FERDINAND, P., et al.; Cooperative luminescence in an ytterbium-doped silica fibre; Optics Communications; 10/01/1994; pp. 310-316; Elsevier Science B.V.	
	O10	WEGH, R.T., and MEIJERINK, A.; Cooperative luminescence of ytterbium(III) in La <sub>2</sub> O <sub>3</sub> ; Chemical Physics Letters; 12/01/1995; pp. 495-498; Vol. 246; Elsevier Science B.V.	
	O11	BURSSTEIN, Z., KALISKY, Y., LEVY, S.Z., LE BOULANGER, P., ROTMAN; Impurity Local Phonon Nonradiative Quenching of Yb <sup>3+</sup> Fluorescence in Ytterbium-Doped Silicate Glasses; IEEE Journal of Quantum Electronics; 08/08/2000; pp. 1000-1007; Vol. 36, No. 8; IEEE.	
	O12	BACHIR, S., KOSSANYI, J., SANDOULY, C., VALAT, P., and RONFARD-HARET, J.C.; Electroluminescence of Dy <sup>3+</sup> and Sm <sup>3+</sup> Ions in Polycrystalline Semiconducting Zinc Oxide; J. Phys. Chem; 1995; pp. 5674-5679; Vol. 99; American Chemical Society.	
	O13	BACHIR, S., KOSSANYI, J., and RONFARD-HARET, J.C.; Electroluminescence of Ho <sup>3+</sup> Ions in a ZnO Varistor-Type Structure; Solid State Communications; 1993; pp. 859-863; Vol. 89, No. 10; Elsevier Science Ltd.; Great Britain.	
	O14	BACHIR, S., SANDOULY, C., KOSSANYI, J., and RONFARD-HARET, J.C.; Rare Earth-Doped Polycrystalline Zinc Oxide Electroluminescent Ceramics; J. Phys. Chem. Solids; 1996; pp. 1869-1879; Vol. 57, NO. 12; Elsevier Science Ltd.; Great Britain.	
Examiner Signature		Date Considered	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you are required to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	10/780,422
		Filing Date	February 17, 2004
		First Named Inventor	Robert H. Burgener, II
		Group Art Unit	2879
		Examiner Name	
		Attorney Docket Number	3398.2.6
Sheet	2	Of	3

O15	RONFARD-HARET, J.C., and KOSSANYI, J.; Electro- and photoluminescence of the Tm <sup>3+</sup> ion in Tm <sup>3+</sup> and Li <sup>+</sup> -doped ZnO ceramics: Influence of the sintering temperature; Chemical Physics; 1999; pp. 339-349; Vol. 241; Elsevier Science B.V.	
O16	KEIR, P.D., MADDIX, C., NAUKOL, B.A., WAGER, J.F., CLARK, B.L., et al.; Lanthanide doping in ZnS and SrS thin-film electroluminescent devices; Journal of Applied Physics; 12/15/1999; pp. 6810-6815; Vol. 86, No. 12; American Institute of Physics.	
O17	FENG, X., QI, C., LIN, F., and HU, H.; Spectroscopic Properties and Laser Performance Assessment of Yb <sup>3+</sup> in Borophosphate Glasses; J. Am. Ceramics Soc.; 1999; pp. 3471-3475; Vol. 82.	
O18	TAKEBE, H., MURATA, T., and MORINAGA, K.; Compositional Dependence of Absorption and Fluorescence of Yb <sup>3+</sup> in Oxide Glasses; J. Am. Ceramics Soc.; 03/1996; pp. 681-686; Vol. 79, No. 3.	
O19	MAENO, T., and MORISAKI, S.; Electroluminescence from Barrier-Type Anodic Oxide Alumina Films Doped with Rare-Earth and Transition Metals by Ion-Implantation; Japanese Journal of Applied Physics; 2000; pp. 6296-6300; Vol. 39; The Japan Society of Applied Physics.	
O20	WU, X., DENIS, J.P., OZEN, G., GOLDNER, P., and PELLE, F.; The Blue Up-Conversion Luminescence of Er <sup>3+</sup> Ions in Vitroceramics Doped with Yb <sup>3+</sup> Under Infrared Excitation; Solid State Communications; 1993; pp. 351-354; Vol. 85, No. 4; Pergamon Press Ltd.; Great Britain.	
O21	HEHLEN, M.P., COCKROFT, N.J., and GOSNELL, T.R.; Spectroscopic properties of ER <sup>3+</sup> - and Yb <sup>3+</sup> -doped soda-lime silicate and aluminosilicate glasses; Physical Review B; 10/15/1997; pp. 9302-9318; Vol. 56, No. 15; The American Physical Society.	
O22	MINAMI, T., KOBAYASHI, Y., MIYATA, T., and SUZUKI, S.; High-Luminance Thin-Film Electroluminescent Devices Using ((Y <sub>2</sub> O <sub>3</sub> ) <sub>0.6</sub> -(GeO <sub>2</sub> ) <sub>0.4</sub> ):Mn Phosphors; Japanese Journal of Applied Physics; 2002; pp. L577-L579; Vol. 41; The Japan Society of Applied Physics.	
O23	CISSE, L., TEYSSEDE, G., and MARY, D.; Influence of Frequency, Electrode Material and Superimposed dc on ac Electroluminescence in Polymer Films; IEEE Transactions on Dielectrics and Electrical Insulation; 02/2002; pp. 124-129; Vol. 9, No. 1; IEEE.	
O24	DAS, S., CHOWDHURY, A., and PAL, A.J.; Alternating-Current and Direct-Current Responses of Light-Emitting Devices Based on Decacyclene Langmuir-Blodgett Films; phys. stat. sol.; 2001; pp. 383-389; Vol. 185, No. 2.	
O25	ROY, S., and PAL, A.J.; A Study of Organic Light-Emitting Devices Based on Electrostatic Self-Assembled Films of Evansd Blue under AC Voltage; phys. stat. sol.; 2002; pp. 367-376; Vol. 193, No. 2; WILEY-VCH Verlag GmbH & Co. KGaA, Weinheim.	
O26	ALLIERI, B., PERUZZI, S., ANTONINI, L., SPEGHIHI, A., BETTINELLI, M., et al.; Spectroscopic characterization of alternate current electroluminescent devices based on ZnS-Cu; Journal of Alloys and Compounds; 2002; pp. 79-81; Vol. 341; Elsevier Science B.V.	
O27	MINAMI, T., YAMAZAKI, M., MIYATA, T., and SHIRAI, T.; Mn-Activated Y <sub>2</sub> O <sub>3</sub> -GeO <sub>2</sub> Phosphors for Thin-Film Electroluminescent Devices; Japanese Journal of Applied Physics; 2001; pp. L864-L866; Vol. 40; The Japan Society of Applied Physics;.	
O28	CHASE, E.W., HEPPLWHITE, R.T., KRUPKA, D.C., and KAHNG, D.; Electroluminescence of ZnS Lumocen Devices Containing Rare-Earth and Transition-Metal Fluorides; Journal of Applied Physics; 05/1969; pp. 2512-2519; Vol. 40, No. 6.	
O29	PEDERSON, L.R., CHOU, Y-S., COFFEY, G.W., HARDY, J.S., KERSTETTER, K.J., et al.; Solid Oxide Electrolyte Systems; Accessed online 4/22/2003.	

Examiner Signature		Date Considered	
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		Examiner Name	
		Attorney Docket Number	3398.2.6

	O30	HWANG, H.J., TOWATA, A., and AWANO, M.; Fabrication of Lanthanum Maganese Oxide Thin Films on Yttria-Stabilized Zirconia Substrates by a Chemically Modified Alkoxide Method; Journal of the American Ceramic Society; 2001; pp. 2323-2327; Vol. 84.	
	O31	LEONTIOU, A.A., LADAVOS, A.K., and POMONIS, P.J.; Catalytic NO reduction with CO on $LA_{1-x}Sr_x(Fe^{3+}/Fe^{4+})O_{3+x}$ perovskite-type mixed oxides ( $x=0.00, 0.15, 0.30, 0.40, 0.60, 0.70, 0.80, \text{ and } 0.90$ ); Applied Catalysis; 2003; pp. 133-141; Vol. 241; Elsevier Science B.V.	
	O32	PETRIK, N.G., ALEXANDROV, A.B., and VALL, A.I.; Interfacial Energy Transfer during Gamma Radiolysis of Water on the Surface of $ZrO_2$ and Some Other Oxides; J. Phys. Chem. B; 2001; pp. 5935-5944; Vol. 105; American Chemical Society.	

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